

03/19/01
Jc960 U.S. PTO

03-21-01
Express Mail label number: EK741816795US

A

PATENT

Docket No. OC-P2

Commissioner for Patents
Washington, DC 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Inventor(s):
Yung-Chieh Hsieh, Chiayu Ai, Chang-Tsung Lin

Jc996 U.S. PTO
09/813052
03/19/01

For (title): **WIDE RANGE TUNABLE FILTER**

1. **Type of Application**

- ☒ This new application is for an original patent.
- ☐ This new application is a:
- ☐ Division
 - ☐ Continuation
 - ☐ Continuation-in-part (CIP)

2. **Benefit of Prior U.S. Application(s) (35 USC 120)**

- ☐ The new application being transmitted claims the benefit of prior U.S. application(s).

Application Serial No. Filing Date

3. ☒ **Benefit under 35 U.S.C. 119(e) of United States provisional application(s) listed below:**

60/273,107 March 2, 2001 Mailed under Express Mail #EK741816818US
Application Serial No. Filing Date

4. **Papers enclosed which are required for filing Date Under 37 CFR 1.53(b).**

20 Pages of specification
9 Pages of claims
1 Pages of abstract
9 Sheets of drawings

☒ formal
☐ informal

5. **Additional papers enclosed**

- ☐ Preliminary Amendment
- ☒ Information Disclosure Statement

- ☒ Form PTO-1449
- ☐ Special Comments

6. Declaration or oath

- ☒ Enclosed and executed by
 - ☒ All of the inventors
 - ☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43
- ☐ Not Enclosed

7. Assignment

- ☒ An assignment of the invention to Optoplex Corporation
 - ☒ is attached
 - ☐ will follow

8. Certified Copy

Certified copy(ies) of application(s)

| | | |
|-----------|-------------------|---------|
| (country) | (application no.) | (filed) |
| (country) | (application no.) | (filed) |

from which priority is claimed

- ☐ is(are) attached.
- ☐ will follow

9. Fee Calculation

| CLAIMS AS FILED | | | | | |
|--------------------|--------------|-----------------------|--------------|--------------------------|-------------|
| Type of Claim | Number Filed | Included in Basic Fee | Number Extra | Rate | Total Fee |
| Total Claims | 28 | -20 = | 8 | x \$18 = | \$ 144.00 |
| Independent Claims | 2 | -3 = | 0 | x \$78 = | \$ 0 |
| | | | | Multiple Claims | = \$ |
| | | | | Basic Filing Fee | = \$ 710.00 |
| | | | | Sub-Total | = \$ 854.00 |
| | | | | Small Entity Filing Fee= | \$ 427.00 |

10. Small Entity Statement(s)

- ☒ Applicants are entitled to Small Entity Status.

Filing Fee Calculation (50% of regular filing fee) \$ 427.00

11. Fee Payment

- ☐ Not Enclosed
☒ Enclosed

Total Basic Filing Fees To Be Paid 427.00

Recordation Fee 40.00

Total Fee \$ 467.00

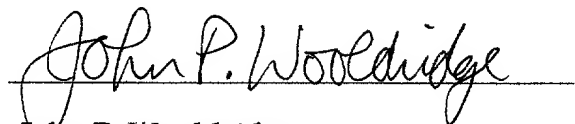
12. Method of Payment of Fees

- ☒ Check in the Amount of \$ \$467.00
☐ Charge Account No. _____ in the amount of \$ _____

A duplicate of this transmittal is attached.

13. Instructions As To Overpayment/Underpayment

- ☐ credit/charge
Account No. _____
☒ refund



John P. Wooldridge

ATTORNEY

Reg. No.: 38,725

Tel No.: (925) 292-8652

1334 Ridgestone Court

Livermore, CA 94551

Dated: March 19, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Yung-Chieh Hsieh et al

Attorney Docket No. : OC-P2

Serial No. :

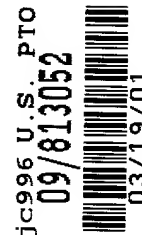
Art Unit:

Filed :

Examiner:

For : Wide Range Tunable Filter

Commissioner for Patents
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE"Express Mail" label number: EK741816795USDate of Deposit: March 19, 2001I hereby certify that the following *attached*

1. New Application Transmittal (in duplicate);
2. Application;
(Specification 20 pages, Claims 9 pages, Abstract 1 page)
Nine (9) sheets of formal drawings;
3. Assignment ;
4. Recordation Cover Sheet;
5. Combined Declaration & Power of Attorney;
6. Information Disclosure Statement (1 page);
7. Form PTO-1449 (2) U.S. Patents;
8. Express Mail Certificate;
9. Check #619 in the amount of \$467 .00;
10. Return postcard

is being deposited with the United States Postal Service "Express Mail Post Office to addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Commissioner for Patents, Box: Patent Application, Washington, D.C. 20231.

Teresa Wooldridge

(Type or print name of person mailing paper)

(Signature of person mailing paper or fee)

For "added" sheet